

## Case and moderation audit guidelines:

### **Case Audits**

1. Cases allocated to team managers by business support (via spreadsheet) for audit in each service
  - The file to be audited is for a child or young person within another team
  - The spreadsheet indicates the auditor, child/young person, and allocated worker; therefore all managers will know what case files in their team are being audited and by whom
2. Managers undertake collaborative audit with allocated worker and seek family feedback
3. All audits must include scaling as well as feedback comments which identify areas of good practice and areas for development
4. Actions need to be clearly identified at the end of the audit form in the action box with timescales for completion
5. Auditor will email the allocated worker and manager to advise that an audit has been completed; there are prompts on the audit form to do this
6. Manager and worker will review audit in supervision and management oversight note will record the discussion and timeframe for action on identified issues
  - Actions will be reviewed in the subsequent supervision (or sooner, if identified timescale is such that it requires a more urgent action) to ensure tasks are completed
7. **In situations where a case file has been deemed inadequate, the auditor will email the worker, team manager, and service manager to advise of outcome**
  - Outstanding tasks will be actioned within 24 hours
  - Management oversight note will record case direction and tasks
  - As above, audit will be reviewed in supervision and recorded on case file
  - Where there are performance issues related to the audit, this will be recorded in personal supervision notes

### **Moderation Audits**

1. A list of cases audited over the last 6 months is run by Strategy, Performance, and Insight. Cases are allocated to moderators by Professional Standards and Quality Assurance
2. All moderation audits must include scaling as well as feedback comments which identify areas of good practice and areas for development
3. Moderator will ascertain and document if actions were completed as identified in audit and record on audit form
4. Additional actions need to be clearly identified in action box on audit form with timescales
5. Moderator records agreement or disagreement with audit
6. **If moderator agrees** with audit, form is finalised and a management oversight case note is recorded
  - Moderator emails worker and manager to advise moderation has been completed

7. **If moderator disagrees** with audit they will meet with auditor to discuss outcome and agree a grading
8. **If the case remains inadequate or there are outstanding actions**, moderator will email worker, team manager, and service manager to ensure tasks are actioned within 24 hours
  - Manager will write management oversight case note to record direction, action, timescale, and completion of tasks
9. All moderations will be reviewed in supervision and recorded on the case file
  - Where there are performance issues related to the moderation, this will be recorded in personal supervision notes (worker and manager)
10. Head of Service- Professional Standards and Quality Assurance will be advised of moderations that are inadequate

<b>Scaling</b>	<b>Ofsted Grade</b>
0-2	Inadequate
3-5	Requires improvement
6-8	Good
9-10	Outstanding